

APPENDIX C

GLOSSARY OF TERMS

The definitions and explanations contained in this Appendix apply to terminology or names as used in this instruction.

1. **ACCESS.** (a) The availability of or the permission to consult records, archives, or manuscripts. (b) The ability and opportunity to obtain classified or administratively controlled information or records.
2. **ACCESSIONS.** The act and procedures involved in a transfer of legal title and the taking of records or papers into the physical custody of an archival agency or a records center. In records center operations, transfer of legal title may not be involved. The definitions also includes the materials involved in such a transfer of custody.
3. **ACCOUNTABLE OFFICERS ACCOUNTS.** Specific documents prepared by accountable officers, required by GAO to be maintained for audit. Also known as site audit records.
4. **ACCRETION.** An accession that is an additional segment of an already accessioned series.
5. **ACTION COPY.** That copy of a communication directed to a particular agency, office, or individual responsible for action as opposed to an information copy.
6. **ACTIVE RECORDS.** See CURRENT RECORDS.
7. **ADMINISTRATIVE RECORDS.** See HOUSEKEEPING RECORDS.
8. **ADMINISTRATIVE VALUE.** In terms of appraisal, the usefulness of records to the originating or succeeding agency in the conduct of current business. See also INFORMATION VALUE.
9. **ADMINISTRATIVELY CONTROLLED INFORMATION.** Privileged or other nonsecurity-classified information in records sometimes bearing designations such as "For Official Use Only" or "Limited Official Use" to prevent its unauthorized disclosure. See also CLASSIFIED INFORMATION, CLOSED FILE.
10. **APPRAISAL.** The process of determining the value and disposition of records based upon their administrative and other uses, their evidential and informational or research value, their arrangement, and their relationship to other records.
11. **ARCHITECTURAL DRAWINGS.** Graphic and engineering drawings that depict conceptual as well as precise measured information essential for the planning and construction of static structures.
12. **ARCHIVAL AGENCY.** See ARCHIVES.
13. **ARCHIVAL VALUE.** The determination by appraisal that records are worthy of permanent preservation by an archival agency. See also HISTORICAL VALUE.
14. **ARCHIVES.** (a) The noncurrent records of an organization or institution preserved because of their permanent value; also referred to, in this sense, as archival materials or archival holdings. (b) The agency responsible for selecting, preserving, and making available archival materials; also referred to as an archival agency. (c) The building or a part of a building where such materials are located; also referred to as an archival repository or depository.
15. **ARCHIVES ADMINISTRATION.** The management or direction of the program of an archival agency, including the following basic functions: appraisal, disposition, accessioning, preservation, arrangement, description, reference service, exhibition, and publication.
16. **ARCHIVIST.** A person responsible for or engaged in one or more of the following activities in an archival repository: appraisal and disposition, accessioning, preservation, arrangement, description, reference service, exhibition, and publication. See also RECORDS MANAGER.
17. **ARRANGEMENT.** The process and results of organizing archives, records, and manuscripts following accepted archival principles.
18. **AUDIOVISUAL RECORDS.** Program and information motion pictures, still pictures, sound recordings, video recordings, and related documentation.
19. **AUTOMATED DATA PROCESSING.** System for recording and processing data on magnetic media.
20. **BREAK FILES.** See FILE BREAK.
21. **CARTOGRAPHIC RECORDS/ARCHIVES.** Records and archival material containing aerial photographs, maps, and related textual documentation.
22. **CASE FILES.** A folder or other file unit containing material relating to a specific action, event, person,

place, project, or other subject. Sometimes referred to as a project file or a transaction file. Also a collection of such folders or other file units.

23. CENTRAL FILES. The file of a command or several offices of organizational units physically and/or functionally centralized and supervised in one location.

24. CHRONOLOGICAL FILE. See READING FILE.

25. CLASSIFIED INFORMATION. Records or information requiring, in the interests of national security or for the protection of individuals, safeguards against unauthorized disclosure. See also ADMINISTRATIVELY CONTROLLED INFORMATION, CLOSED FILE.

26. CLOSED FILE. (a) A file unit or series containing documents on which action has been completed and to which additional documents are not likely to be added. (b) A file unit or series to which access is limited or denied. See also ADMINISTRATIVELY CONTROLLED INFORMATION, CLASSIFIED INFORMATION.

27. COMPREHENSIVE RECORDS CONTROL SCHEDULE. A document describing all records of a command or organizational unit and authorizing, on a continuing basis, the specific disposition of recurring series or records.

28. CONTINGENT DISPOSAL. Destruction of temporary records at a fixed period after a predictable event. Disposal may be based on the likelihood that two or more events in the future affect a series or records.

29. CONVENIENCE FILE. Extra copies of records, personal papers, or publications maintained for ease of access and reference. Sometimes known as personal file.

30. COPY. A reproduction of an original document, usually identified by function or method of creation. Copies identified by function may include action copy, comeback copy, file or record copy, information or reference copy, official copy, and tickler copy. Copies identified by method of creation include carbon copy, mimeograph copy, ribbon copy, and electrostatic copy.

31. CORRESPONDENCE. Letters, postcards, memoranda, notes, telecommunications, and any other form of addressed, written communications sent or received.

32. CUBIC FEET OF RECORD. Records measuring one foot long, one foot wide, and one foot high; used as a yardstick to indicate volume or records on hand,

transferred, or destroyed. See Appendix A for table for calculating cubic footage for various physical types of records.

33. CURRENT RECORDS. Records that are necessary for conducting current business and must be maintained in office space and equipment.

34. CUSTODY. The guardianship of records, archives, and manuscripts that, in a strict sense, includes both physical possession (protective responsibility) and legal title (legal responsibility).

35. CUT OFF. See FILE BREAK.

36. DEPARTMENTAL BUREAUS AND OFFICES. All headquarters activities and offices at the Seat of Government, including offices of the Secretary of the Navy, Under Secretary and Assistant Secretaries, offices of the Chief of Naval Operations and the Commandant of the Marine Corps, all independent departmental boards and committees, and Systems Commands, Bureaus, and offices.

37. DISPOSAL. The physical destruction of records by burning, macerating, or other appropriate means such as salvage.

38. DISPOSAL AUTHORITY. The legal authorization for records destruction obtained from the Archivist of the United States.

39. DISPOSAL SCHEDULE. Instructions for disposition of DON records. See DISPOSAL AUTHORITY.

40. DISPOSITION. The destruction, retirement, transfer, or microfilming of records, or their donation to another Federal agency or to non-Federal recipients. It may include two or more of these actions, such as transfer when three years old and destroy when six years old.

41. DOCUMENT. Recorded information regardless of medium or characteristics. Frequently used interchangeably with record.

42. EMERGENCY DESTRUCTION. Eliminating records under abnormal circumstances, as provided by law or regulations.

43. FEDERAL RECORDS CENTER. A records storage facility operated by the National Archives and Records Administration (NARA), for housing and servicing noncurrent records of the Federal Government.

44. **FILE.** (a) An accumulation of records maintained in a predetermined physical arrangement, (b) documents placed in a predetermined location according to an overall plan of classification. Some examples of what a file can consist of are:

a. Any entire voucher file, arranged numerically by voucher number and consisting of copies of paid vouchers together with attached supporting papers such as purchase orders, receiving reports, invoices, bills of lading, and correspondence. (Each individual voucher together with its supporting papers is a file unit.)

b. A complete official personnel file, arranged alphabetically by name of employee, and consisting of separate personnel folders, each containing records pertaining to an individual employee. (Each separate folder with its contents is a file unit).

c. A purchase order file, arranged numerically by purchase order number or alphabetically by name of vendor, and consisting of copies of all the purchase orders issued or received by the organization. (Each separate purchase order and its supporting paper is a file unit.)

45. **FILE BREAK/CUT OFF.** Termination of a file at regular intervals to allow continuous disposal or transfer of file series. File cut off periods are normally by calendar or fiscal year.

46. **FILE UNIT.** A case file or a series of papers documenting a single transaction and comprising part of a file series, such as a voucher with attached supporting papers, a personal history folder with included papers relating to an employee, or an incoming letter with internal comments and official reply attached. See also FILE.

47. **FINDING AIDS.** The descriptive media or terms, published and unpublished, created by an originating office, an archival agency, or manuscript repository to establish physical or administrative control over records and other holdings. Basic finding aids include guides (general or repository and subject or topical), inventories or registers, location registers, card catalogs, special lists, shelf and box lists, indexes, calendars, and, for machine-readable records, software documentation.

48. **FISCAL VALUE.** The usefulness of records for information about the financial transactions and obligations of agencies and organizations. See also ADMINISTRATIVE VALUE.

49. **GENERAL CORRESPONDENCE FILES.** A group

of related records accumulated by most activities consisting of correspondence, memoranda, messages, reports, and other records. These files are created in connection with the principal functions the activity performs. Since a variety of material is involved, it is best filed by subject so that relationships may be perceived readily. The use of the Navy-Marine Corps Standard Subject Identification Codes system (contained in SECNAV Instruction 5210.11C) is prescribed for these files. Under this system, numerical subject classification codes are designated for primary subject to fit the need of the individual activity or office. These are subdivided into secondary and tertiary codes, as necessary.

50. **GENERAL RECORDS SCHEDULE.** A schedule, issued by the National Archives, governing the disposition of specified recurring record series common to several or all Federal agencies. These schedules as they apply to DON records have been incorporated into Parts III and IV of this instruction.

51. **HISTORICAL VALUE.** The usefulness of records for historical research concerning the DON or for information about persons, places, events, or things. Also known as a staging area.

52. **HOLDING AREA.** DON space used for the temporary storage of active or semiactive records and for records with relatively short retention periods. Also known as a staging area.

53. **HOUSEKEEPING AND ADMINISTRATIVE FILES.** Records that relate to budget, fiscal, personnel, supply, and similar administrative operation, as distinguished from actual program records which document the activity's/command's primary function.

54. **INACTIVE RECORDS.** See NONCURRENT RECORDS.

55. **INFORMATIONAL VALUE.** The value of records that derive from the information they contain on matters with which public agencies deal.

56. **LEGAL VALUE.** The value of records which contain evidence of legally enforceable rights or obligations of governments and/or private persons.

57. **MACHINE-READABLE RECORDS.** Records whose informational content is usually in code and has been recorded on media, such as magnetic disks, drums, tapes, punched paper cards, or punched paper tapes, accompanied by finding aids known as software documentation. The coded information is retrievable only by machine.

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58. **MANUSCRIPT.** A handwritten or typed document including a copy. A mechanically produced form completed in handwriting or typescript is also considered a manuscript.

59. **MAPS AND CHARTS.** Graphic representation at a reduced scale of selected physical and cultural features of the surface of the earth and other planetary bodies. These may include topographical quadrangles, cadastral plans, charts (hydrographic, nautical, weather, and aeronautical), photomaps, cartograms, globes, and relief models.

60. **MICROCARD.** An opaque card containing miniaturized pages photographically reproduced in a grid pattern by rows (like the numbers of a calendar). Microcards can be printed on one or two sides. They are used primarily for direct reading or when only a few permanent enlargements are needed.

61. **MICROFICHE.** Miniaturized images arranged in rows that form a grid pattern on card size transparent sheet film.

62. **MICROFILM.** A negative or a positive microphotograph on film. The term is usually applied to a sheet of film or to a long strip or roll of film that is 16mm, 35mm, 70mm, or 105mm in width and on which there is a series of microphotographs.

63. **MICROFORM.** Any miniaturized form containing micro images, such as microcards, microfiche, microfilm, and aperture cards.

64. **MICROPHOTOGRAPH.** A photographic reproduction so much smaller than the object photographed that optical aid is necessary to read or view the image. The usual range of reduction is from 8 to 25 diameters. Also called microcopy.

65. **NAVAL ACTIVITIES.** Navy and Marine Corps activities.

66. **NAVAL RECORDS.** Navy and Marine Corps records; in some instances retention and disposal standards specifically designate Navy and/or Marine Corps records, but where "naval" is used it is intended to include both.

67. **NAVY RECORDS CENTERS.** See RECORDS CENTER.

68. **NONCURRENT OR INACTIVE RECORDS.** Those files not needed in the conduct of current business and which may be removed from office space and equipment

without impairing current operation.

69. **NONRECORD (FILES) MATERIAL.** Materials not usually included within the definition of records. These are accumulated in the process of producing records, but they never acquire a "record" character and include:

a. stocks of publications and other reproduced documents maintained for supply purposes;

b. materials preserved solely for purposes of reference or exhibition in libraries of museums;

c. duplicate copies of material maintained within the same organization when serving the same functional purpose;

d. copies of reproduced or processed materials when other copies are retained elsewhere for official record purposes;

e. extra copies of papers preserved solely for convenience of reference, e.g., reading files, and "follow-up" or "tickler" or "suspense" copies of materials that may be destroyed after a brief period; abstracts or briefs of material maintained for tickler purposes;

f. privately purchased books and other papers relating to private personal matters and kept in an office only for convenience; and

g. correspondence and other records of transitory value that have no value after action has been completed or that are received for information and require no action. Some examples of this nonrecord category are:

(1) published materials received from other activities or offices requiring no action and not required for documentary purposes;

(2) letters or other transmitting papers that add no significant information to the material submitted;

(3) catalogs, trade journals, and other documents or papers received from other Government agencies, commercial firms, or private institutions, that require no action and are not a part of a case upon which action is taken;

(4) working papers, preliminary or intermediate drafts, reports and related papers, memoranda, preliminary worksheets, or notes and similar materials that are summarized in final or other form and that have no evidential or informational value once action has been completed since they do not relate to significant steps

taken in preparing record copies of documents;

(5) reproduction materials such as stencils, hectograph masters, and offset plates;

(6) shorthand notes, stenographic notebooks, and stenotype tapes that have been transcribed;

(7) information copies of correspondence, memoranda, and other papers that require no administrative action;

(8) notices or other papers that are not the basis for official action;

(9) charts, diagrams, and other graphic materials, prepared from source material and used for briefing or training activities;

(10) statistical tabulating aids used incidentally in the documenting process;

(11) routine records used to control or facilitate actions;

(12) personal work papers, such as notes, rough drafts, cards, etc.; and

(13) library material, publications and other materials maintained by libraries exclusively for reference purposes.

(Some activities transfer their "record" copies of publications or research reports to their libraries where they are retained for the activities and may also be used for reference purposes. The fact that these are maintained in libraries rather than in the official files does not change the record character of publications so transferred; these still remain "record" material.)

70. PAPERWORK MANAGEMENT. Collectively, the techniques of managing the creation, maintenance, and disposition of records. See also RECORDS MANAGEMENT.

71. PERMANENT RECORDS. Records that have been appraised as having enduring values—historical, research, legal, scientific, cultural, or other values. Permanent records are those that will protect the DON's interests and that document its primary missions, functions, responsibilities, and significant experiences and accomplishments.

72. PRIMARY PROGRAM FILES. Files of an activity or office having primary responsibility for the

establishment and development of general policies, plans, programs, and procedures in designated functional areas. Activities creating or accumulating these records are formulating and prescribing procedures to be followed by other activities and offices. Most primary program records are accumulated by departmental activities; but Operating Force (Flag/General) commands, and some other major field commands also accumulate primary program files. Primary program files generally are permanent records.

73. PROGRAMMING RECORDS. The process of developing instructions spanning the complete life cycle of a records series from its creation to eventual destruction or preservation.

74. RECORDS. Those documentary materials that may not be destroyed without the approval of the National Archives and the Secretary of the Navy as promulgated in this instruction. The statutory definition of records is "All books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, operations, or other activities of the Government or because of the informational value of the data contained therein." Some evidence of information concerning these matters is contained in practically all records. The immediate or future reference needs decide the relative importance of this documentation. Identification of those records which contain sufficient evidence or information to justify continued preservation is a principal part of the records disposal program. Guidance for making this identification is provided in this instruction.

75. RECORDS CENTER. A facility equipped for the concentrated economical storage of noncurrent or inactive records and staffed to perform required reference, processing, disposal, and related services.

76. RECORDS DISPOSAL SCHEDULES. The administrative media used by the DON to obtain legal disposal authority for categories of naval records. When authorized by the archivist of the United States, these schedules grant continuing authority to dispose of identifiable categories of naval records that already have accumulated and that will accumulate in the future. This authority is issued to naval activities by this instruction.

77. RECORDS DISPOSITION. See DISPOSITION.

78. RECORDS DISPOSITION OFFICER. The official responsible for operation of a records disposition program.

79. RECORDS MANAGEMENT. That area of general administrative management concerned with achieving economy and efficiency in the creation, use and maintenance, and disposition of records. This includes fulfilling archival requirements and ensuring effective documentation. See also PAPERWORK MANAGEMENT.

80. RECORDS MANAGER. The person responsible for or engaged in a records management program. Sometimes known as a records officer or records administrator. See also ARCHIVIST.

81. RECORDS STORAGE AREA. Space set aside, without specialized equipment or personnel for the economical local storage of relatively inactive noncurrent records that must be retained for an additional period before destruction or transfer to a records center. See also HOLDING AREA.

82. REPOSITORY. A place where archives, records, or manuscripts are kept. The word "depository" is sometimes used as a synonym for repository.

83. RESEARCH VALUE. The usefulness of records for research by the Government, business, and other private organizations, and by scholars in the humanities, social and physical sciences, administration, and other disciplines. See also HISTORICAL VALUE.

84. RETENTION PERIOD. The period of time that records must be kept before they may be destroyed. The period usually is stated in terms of years or months, but is sometimes expressed as contingent upon the occurrence of an action or event. When the retention period is expressed in terms of years or months this period is calculated commencing with the cut off date. A retention period is to be distinguished from a retirement period (see RETIREMENT PERIOD).

85. RETENTION STANDARD. A description of a series of records and their retention period approved by the Secretary of the Navy following current law or regulation. The retention period may be of a temporary or permanent duration.

86. RETIREMENT OF RECORDS. Removal of records from usable office-type space and equipment to local records storage area.

87. RETIREMENT PERIOD. The period of time which

records are to be retained before being removed from a current files area to a designated local storage area. A retirement period is to be distinguished from a retention period (see RETENTION PERIOD).

88. SCRATCHING. Process of permanently removing, erasing, or obliterating recorded information from a medium, especially a magnetic tape or disk, which then may be reused. (Sometimes called DELETING or ERASING.)

89. SCREENING. The examination of records to determine the presence of documents eligible for destruction and the removal of such documents from the files prior to disposition of the remaining records.

90. SECURITY CLASSIFIED RECORDS. See CLASSIFIED INFORMATION.

NOTE: DESTRUCTION OF ELECTRONIC RECORDS.

Electronic records may be destroyed only in accordance with a records disposition schedule approved by the Archivist of the United States, including General Records Schedules and this instruction. At a minimum each command shall ensure that:

(a) Electronic records scheduled for destruction are disposed of in a manner that ensures protection of any sensitive, proprietary, or national security information.

(b) Magnetic recording media previously used for electronic records containing sensitive, proprietary, or national security information are not reused if the previously recorded information can be compromised by reuse in any way.

91. SEMI-CURRENT RECORDS. Records required so infrequently in the conduct of current business that they should be moved to a holding area or directly to a records center. See also CURRENT RECORDS, NONCURRENT RECORDS.

92. SERIES. File units or documents arranged following DON's filing system (Standard Subject Identification Codes) or maintained as a unit because they relate to a particular subject or function, results from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. (Sometimes known as a record series, series of records, or file series.)

93. TEMPORARY RECORDS. Records that need be retained for a specific period of time or until the

occurrence of an action or event but that may then be destroyed, provided the destruction is accomplished under the provisions of this instruction. See also CONTINGENT DISPOSAL.

94. TICKLER FILE. A file arranged by date to facilitate selection of records for disposal when they become due.

95. TEXTUAL RECORDS/ARCHIVES. The term usually applied to manuscript materials, as distinct from cartographic, audiovisual, and machine-readable record.

96. TRANSACTION FILE. See CASE FILE.

97. TRANSFER OF RECORDS. Change of custodial responsibility for records by removal and assignment to another activity or office, or to a Federal Records Center, the National Archives, another Federal agency, a non-Government institution, or other non-DON recipient.

98. UNSCHEDULED RECORDS. Records for which no ultimate disposition has been determined. Naval records should not appear in this category.

99. WIDE AREA NETWORK (WAN). A system for linking together computers, terminals, printers, and other equipment that are located in extensively separated offices and buildings.

100. WORD PROCESSING (WP). Creating and modifying documents by using a computer, along with other hardware and related software.

101. WORK FILES. Temporary files in auxiliary computer storage. Sometimes called processing files.

102. WORKING PAPERS. Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents.

103. WRITE ONCE READ MANY (WORM). Of or relating to a type of optical disk on which information can be recorded only once but from which it can be retrieved and read many times.